

WAVERLEY BOROUGH COUNCIL

AUDIT COMMITTEE

28TH NOVEMBER 2022

Title:

PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT AGREED ACTIONS

Lead Councillor: Councillor Peter Marriott, Chairman of the Audit Committee

Strategic Director: Ian Doyle for Business Transformation and Governance

Key decision: Yes

Access: Public

1. Purpose and summary

- 1.1 To inform the Audit Committee of Senior Management's progress in implementing the agreed actions raised by Internal Audit following a review in their service areas. This report will enable the Committee to consider what action is required in respect of those that are overdue or appear likely to be implemented later than the original agreed implementation date.

2. Recommendation/s

- 2.1 It is recommended that the Committee considers the information contained in **Annexe 1** and, following discussion at the Audit Committee meeting identifies any action it wishes to be taken and
- 2.2 Considers the Head of Service(s) justification for a request for a change in the agreed target date for the Management Actions (s) listed in **Annexe 2** and agree an appropriate implementation date(s).

3. Reason for the recommendation

To enable the Audit Committee to be informed of the status of agreed actions accepted by Heads of Service but not yet implemented or progress made to implement by the agreed implementation date.

4. Background

4.1 This report provides the Audit Committee with the latest position regarding the implementation of Internal Audit agreed actions.

5. Relationship to the Corporate Strategy and Service Plan

5.1 A financially sound Waverley, with infrastructure and services fit for the future.

6. Implications of decision

6.1 Resource (Finance, procurement, staffing, IT)

Internal audit work helps management in achieving good value for money and, individual agreed actions may have value for money implications and protect the council from financial risks.

6.2 Risk management

There is a risk that where weakness or non-compliance identified as part of audit reviews, if not actioned to strengthen the controls will not assist to prevent the materialising of the risks identified.

6.3 Legal

There are no direct legal implications, although good governance and probity are strengthened by attending to the matters raised within the audit agreed actions.

6.4 Equality, diversity, and inclusion

There are no direct equality, diversity, or inclusion implications in this report. Equality impact assessments are carried out, when necessary, across the council to ensure service delivery meets the requirements of the Public Sector Equality Duty under the Equality Act 2010.

6.5 Climate emergency declaration

There are no direct implications in this report

7. Consultation and engagement

7.1 Heads of Service and SMT.

8. Other options considered

8.1 N/A

9. Governance journey

9.1 The minutes of the meeting will be included on the Council agenda.

Annexes:

Annexe 1 – provides the current position on agreed actions due for completion at the end of the month of the Audit Committee date.

Annexe 2 – provides the requests from Executive Heads of Service for changes to the original agreed action dates.

Background Papers

There are no background papers, as defined by Section 100D (5) of the Local Government Act 1972).

CONTACT OFFICER:

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Agreed and signed off by:
Legal Services: 01/11/2022
Financial Services Manager: 01/11/2022
Joint Executive Head of Finance (S151):

Agreed Internal Audit Actions overdue or due by 30 November 2022





Generated on: 17 November 2022



Action Status	
	Cancelled
	Overdue; Neglected
	Unassigned; Check Progress
	Not Started; In Progress; Assigned
	Completed

Joint Executive Head of Communications and Customer Services Haymes, Nicola



IA22/15.001.2 Backup Policy						
Action Code & Description	IT has no documented backup policy, and no critical applications register. The business areas are not currently involved with establishing recovery time and recovery point objectives for their systems, or identifying what systems are critical to the Council. IT have therefore decided and applied backup regimes themselves.				Exit Meeting Date	25-Jul-2022
					Due Date	30-Nov-2022
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA22/15 Data Storage and Backup					
Agreed Action	Document backup policy.					
Status		Neglected	Progress	50%	Joint Executive Head of Communications and Customer Services	Nicola Haymes
All Notes	Backup policy currently in draft with Howard Denhart to review with the Business teams for priority. This is currently part of a backup and recovery project that Howard Denhart is running and he has a schedule of meetings to confirm backup priorities with key business system owners before finalising the back-up policy. Extension required until end Feb 2023.					Linda Frame



IA22/15.001.3 Critical Application Register						
Action Code & Description	IT has no documented backup policy, and no critical applications register. The business areas are not currently involved with establishing recovery time and recovery point objectives for their systems, or identifying what systems are critical to the Council. IT have therefore decided and applied backup regimes themselves.				Exit Meeting Date	25-Jul-2022
					Due Date	31-Oct-2022
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA22/15 Data Storage and Backup					
Agreed Action	Document Critical Application Register.					
Status		Check Progress	Progress	50%	Joint Executive Head of Communications and Customer Services	Nicola Haymes
All Notes	This is currently part of a backup and recovery project that Howard Denhart is running and he has a schedule of meetings to confirm backup priorities with key business system owners before finalising the critical application register. Extension required until end Feb 2023.					Linda Frame

Joint Interim Executive Head of Planning - MacInnes, Gilian

IA20/08.001 Target Response Times						
Action Code & Description	Monitoring of response targets against those highlighted in the Enforcement Plan for the 3 priorities are not currently measured or reported: Priority One – Major – First contact or site visit within 1 working day from receipt of complaint Priority Two – Medium – First contact or site visit within 5 working days from receipt of complaint Priority Three – Low – First contact or site visit within 10 working days from receipt of complaint				Exit Meeting Date	15-Jan-2020
					Due Date	30-Nov-2022
Risk Level	Medium Priority				Risk RAG	
Audit Report Code and Description	IA20/08 Planning Enforcement					
Agreed Action	1.1 The measuring of response times to be incorporated into the incoming new Horizon programme that replaces ILAP. 1.2 The information for reporting will be available on request from the new Horizon programme that replaces ILAP. Risk -Performance issues may not be identified. (ZE)					
Status		Check Progress	Progress	90%	Joint Interim Executive Head of Planning	Gilian MacInnes
All Notes	The measuring of response times will be recorded per member request, in the final roll out of the Horizon enforcement module. Currently in snagging with developers. Suggested new date subject to regressions testing: Dec 31, 2022. (SB)					21-Oct-2022
	To be implemented and ready for Service O&S in November 2022 re AC 12/09/2022					26-Sep-2022
	HOS requesting extension to March 2023 re Local Plan approval					31-Aug-2022
	Audit Committee Extension agreed at 28/03/2022 meeting to 31st August 2022.					29-Mar-2022
	Target times are addressed in the updated enforcement plan which is scheduled to go to Services O&S in March 2022.					14-Feb-2022
	The enforcement plan has been drafted and is under review.					02-Feb-2022
Extension Agreed by Audit Committee on 08/11/2021 until 01/01/2022					09-Nov-2021	

	The main framework of an End-to-End processing system is now in place with the Horizon system. The reporting functionality is online however we are currently testing the output for clarity. Final Snagging works are in progress. Expected date: 01/01/2022	08-Nov-2021
	Target date changed to 31/10/2021 as agreed by Audit Committee on 06/09/2021	08-Sep-2021
	Completion of this action is dependent on the necessary functionality being available in the new Horizon system, which is not yet in place;	01-Jul-2021
	Due changed re AC November agreement to 31/03/2021.	04-Dec-2020

IA22/14.001.1 Service Level Agreement						
Action Code & Description	A Memorandum of Understanding was issued by StatMap at the start of the project in 2017. At that time, it was envisaged that the Development Management and Building Control modules would be completed and operational by 29th March 2018, and this is the deadline included in the MOU.				Exit Meeting Date	24-Jun-2022
	The MOU provided by WBC was not signed by the Council or StatMap, and the timescales have not been met. Although we attempted to obtain a more up to date and signed contract or MOU between WBC and StatMap, the officers contacted at WBC were unable to provide one. We were informed by the Business and Performance Manager that once the development has been signed off by Council Management, a service level agreement will be drawn up and signed by both parties to govern the relationship going forward, however there is nothing currently in place setting out roles and responsibilities or expectations of either party.				Due Date	31-Oct-2022
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA22/14 Post Implementation of Horizon					
Agreed Action	1.1: Service Level Agreement to be drafted with the assistance of IT and legal; sent to HoS for review. SLA will clearly set out support, roles, definitions, and responsibilities set for both WBC and StatMap moving forward.					
Status		Check Progress	Progress	95%	Joint Interim Executive Head of Planning	Gilian MacInnes
All Notes	Last two modules are in final dev and snagging (enforcement and building control). SLA has been received. Business & Performance Manager would like EHoS review and therefore would request a time extension to 31 Dec 2022 for this purpose please.					21-Oct-2022

IA22/14.001.2 Up to date contract/Memorandum of understanding						
Action Code & Description	The absence of an up-to-date contract/MOU signed by the developer and the Council means that the developer has no obligation towards the Council to complete the development of the software.				Exit Meeting Date	24-Jun-2022
					Due Date	30-Nov-2022
Risk Level	High Priority				Risk RAG	
Audit Report Code and Description	IA22/14 Post Implementation of Horizon					
Agreed Action	Agreed SLA to be issued to StatMap for review and approval.					
Status		In Progress	Progress	0%	Joint Interim Executive Head of Planning	Gilian MacInnes
All Notes	Proposed Extension date 31 Dec 2022					21-Oct-2022
	It is the intention this will be addressed as part of the agreement made in SLA					21-Oct-2022

Requests for extension/s to previously agreed implementation date/s

Recommendation Ref No/s	IA22/15.001.2 & IA22/15.001.3- System Backups
Justification for an extension	Backup policy currently in draft with Howard Denhart to review with the Business teams for priority. This is currently part of a backup and recovery project that Howard Denhart is running and he has a schedule of meetings to confirm backup priorities with key business system owners before finalising the back-up policy. Extension required until end Feb 2023.
Joint Executive Head of Communications and Customer Services	Nicola Haymes

Recommendation Ref No/s	IA20/08.001 Target Response Times – Planning Enforcement
Justification for an extension	The measuring of response times will be recorded per member request, in the final roll out of the Horizon enforcement module. Currently in snagging with developers. Suggested new date subject to regressions testing: 31 Dec 2022.
Joint Interim Executive Head of Planning	Gilian MacInnes

Recommendation Ref No/s	IA22/14.001.1 & 1.2 Horizon S L Agreement
Justification for an extension	Last two modules are in final dev and snagging (enforcement and building control). SLA has been received. Business & Performance Manager would like Executive Head of Planning to review and therefore would request a time extension to 31 Dec 2022 for this purpose please.
Joint Interim Executive Head of Planning	Gilian MacInnes